

SUPPORT SERVICES STAFF

PROGRAM CALL

FISCAL 71-75

only portions pertaining to Records Management

## MANAGEMENT SUPPORT

### 1. PROGRESS TOWARD CURRENT OBJECTIVES

a. A Records Administration Board was created under the chairmanship of the Chief, Records Administration Branch with membership representing the Office of the Director and each of the Directorates to oversee the management of the Records Program of the Agency.

b. The Information Processing Branch of the Support Services Staff and the Management Support Division of the Office of Computer Services were joined into a task force reporting to the Assistant Deputy Director for Support in order to bring under single management all of the resources devoted to the operation and maintenance of on-going information processing systems in the Support Directorate and the development of new ones.

c. A senior experienced Support Officer and a junior officer with field experience were assigned to the Regulations Control Branch to make it possible for the Branch to play a more substantive role in the development and processing of regulatory issuances toward the objective of improving the overall process as well as the quality of the issuances.

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d. In support of the function of the Chief, Support Services Staff as Information Processing Coordinator for the Support Directorate, representatives of the Support Services Staff, in conjunction with the Office of Security, completed a feasibility study of a computer application to support the In-Place Monitoring System. The study has been approved by the Director of Security and is currently being reviewed by the Office of Computer Services.

## 2. OBJECTIVES FOR FISCAL YEARS 1971-75

a. To examine the role of the Support Services Staff and each of its elements, information processing, records administration, and regulations control, and determine what that role should be in the Agency and the Support Directorate.

b. To develop and recommend to the Deputy Director for Support plans and mechanisms for the appropriate structuring of the information processing, records administration, and regulatory systems.

c. To recommend a framework for their management and control.

## 3. PROGRAM PLANS

a. Method of Approach. Identify policy issues and

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submit recommendations to the Deputy Director for Support for decision.

Develop a Records Program Plan and recommendations for its implementation.

Revise and maintain an overall Directorate Information Processing Plan.

Develop and recommend the establishment of an appropriate mechanism to maintain career cognizance for people assigned to each of the three functional units of the Support Services Staff.

To continue sponsoring career related training for all personnel assigned to the Support Services Staff.

b. Coordination, Joint Planning and Requirements. The Records Board and the network of component Records Officers provide the mechanism for coordination and joint planning of proposals related to the Agency Records Program.

The Information Processing Coordinators in each of the Support Offices and the Directorate Information Processing Coordinators provide the mechanism for coordination and joint planning of information processing activities.

The coordination of regulatory issuances and proposals relating to the regulatory system has a well established

mechanism in each of the major components of the Agency.

c. Risks and Uncertainties. A major risk is that management interest, particularly in the records and regulatory programs, will not be sustained and that the achievement of the objectives may be expected without the additional resources required in each of those programs.

d. Alternatives Considered. The purpose of the objectives as stated is to develop suitable alternatives for management consideration. We might hire a management consultant to assist in the identification of these alternatives; we can do it ourselves; or we can do nothing. We elect to do it ourselves because to do nothing is unacceptable and the problems and issues are not so apparent and readily defined that they can be reasonably offered for solicitation of proposals by a consultant and the solutions must be compatible with the Agency environment.

e. Resources Required. The Management Support element of the Support Services Staff presently has three positions, and no additional resources will be required during this planning period.

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RECORDS ADMINISTRATION

PART 1: PROGRESS, OBJECTIVES, AND PROGRAM PLANS.

1. PROGRESS TOWARD CURRENT OBJECTIVES:

a. As anticipated in last year's Program Call and earlier reports, Agency records continue to increase in volume and complexity. Although the rate of increase is smaller (2% vs 10%); the FY 1968 inventory of active Office records is up to 251,000 cubic feet (up 2% over FY 1967) and the inactive stored records jumped 5% up to 104,000 cubic feet by the end of FY 1968. Likewise, new problems related to records keeping technology increased in such areas as computer tape storage, microfilm equipment, retrieval procedures, microfiche, voluminous computer output, and storage of NPIC films. The Program's personnel expanded their concern and knowledge in these new records fields and still meet the current objective to provide guidance and service to all components with records problems.

b. To meet these anticipated paperwork increments in this dynamic and expanding Agency the Records Program has successfully provided services for new automation forms being created, found and promoted use of new mechanized filing equipment and systems for maintaining and using the records on hand, and has greatly accelerated the controlled disposition of

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unnecessary papers. The overcrowded Records Center was provided two years of additional operating life by temporarily moving 20,000 cubic feet of extra Agency reports to a GSA Records Center until December 1970.

c. Also the Program Central Staff provided guidance to 120 Agency Historians and Records Officers with a Spring Conference on preserving valuable documents and to 82 Records Officers at a Fall Conference on Microminiaturization Techniques. Orientations on improving paperwork procedures in the components were given to 473 Agency personnel during the past year. The Records Center provided Agency components with over 100,000 references to the documents in storage (some 500 service actions each workday).

d. Our Program Call proposal last year, to build an addition on the Agency Records Center at [REDACTED] to house records of the next ten years, was rejected and alternatives had to be sought. A July briefing and recommendations to the Executive Director-Comptroller and the Deputy Directors resulted in establishing an Agency Records Management Board to study the Agency's records problems and to recommend solutions. First the Board was directed to conduct an Agency-wide purge of all

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holdings in the Records Center. Their first quarterly report indicates 8,000 cubic feet (8%) of the Records on hand in July 1968 have been authorized for disposal. That records purge will continue and the Board is exploring alternatives to the records storage and retrieval problem. Each Directorate provides a member to the Agency Records Management Board and this staff has provided the extended services of eight different people since the Board was created.

## 2. OBJECTIVES FOR FISCAL YEARS 1971-75.

The Agency's Records Management Program complies with the legal requirement that every government Agency establish a continuing program to improve the efficiency and economy of records keeping. (Federal Records Act--P.L. 81-754) CIA Regulation HR [REDACTED] established our Program to control Agency records at the time they are created, during their use, and to provide systematic disposal of unnecessary papers but to retain valuable documents. The Regulation specifies six elements for the Program: Forms, Reports, Correspondence, Records Maintenance, Records Disposition, and Vital Records. Each of these six elements have unique objectives but they all impact on one another and therefore require the "Total Program" approach now in use and which is subdivided into these three major functions for administrative purposes.

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a. Objectives Related to "Records Creation" Function.

(1) The Forms Management Program aims to improve Agency forms, control their growth, and reduce the quarter million dollar cost of creating fifty million copies of some 2,700 Agency forms. At present this Program concentrates its controls on the design and production of forms. With its 1 1/2 man-years of manpower other objectives of this program are only partially achieved. Long-range plans aim to increase improvements in an even more lucrative area--procedures related to Agency forms. In the next year special effort will focus on regulations controlling Agency forms, conversion of manual "source data" forms to optical scanning device forms, and greater use of forms control by the Directorates.

(2) With only one-eighth of a man-year available the Reports Management Program is limited in scope today. Expensive computer reporting systems being developed make the objectives of a central reports monitoring service more important than ever. For the coming year this staff aims to provide reports management advice and guidance to Component Records Management Officers and will encourage

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Senior Directorate Records Management Officers to increase control of reports creation and the reduction of their numbers and cost.

(3) With only one-eighth of a man-year available there is only a partial Correspondence Management Program in being at present. The establishment of a more active central Correspondence Program is a necessary objective for this sub-Program of the Agency's total Records Program. The completion of a revised Agency Correspondence Handbook and adoption of the Federal format of Block Style letters are two objectives for this planning period that should re-establish central direction as well as focus management attention and support in this neglected area.

b. Objectives Related to "Files Maintenance and Use"

Functions.

(1) At Logistic's request and DDS direction this central staff reviews component requests for filing equipment and construction of Vaults and Secure Areas for records keeping. Thousands of dollars in cost avoidance were realized through requisition improvements or disapprovals. The aim here will be greater involvement of

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the Directorate Records Officer to permit our staff members to increase attention given the Records Systems and related equipment and procedures, both automated and manual. The aim will be for staff members to study professional systems analysis and microfilming to help meet the Agency's accelerating demands to convert paper records to automated or microminiaturized systems.

(2) During the coming planning period we shall endeavor to have the Agency officially re-evaluate its Emergency Planning Program which will impact on the selection and protection of Vital Records, equipment, personnel, and relocation site.

(3) Formal training in Records Management and related field for our staff members will be encouraged because of many changes taking place in records storage and retrieval concepts. This staff will then endeavor to pass on this knowledge to component Records Officers and to stimulate their development in the new records procedures and equipment. Increased guidance in all elements of the total Records Program for personnel at all levels is an important objective for the coming planning period.

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Also the central staff aims to develop and implement more standards and orientations in records keeping practices.

c. Objectives Related to "Records Disposition" Function.

(1) The Records Disposition Program is double edged to provide for preservation of valuable documents as well as for controlled destruction of obsolete files. The completion and implementation of an Agency "Records Retention Plan" is scheduled for this period. This new plan will establish the "Offices of Record" to insure the retention of historical and legally required documents.

(2) The Agency Archives and Records Center Program aims to provide all Agency Components with the Vital service of preservation, retrieval and controlled disposal of records. The capacity life of the Center has been temporarily extended until December 1970 by using GSA storage space. Last year's Program proposal to construct an addition at the Center was rejected. A proposal to use the [REDACTED] is being surveyed and initial estimates of \$300,000 for renovations will be analyzed and decided upon in this planning

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period. [REDACTED] facilities will be similarly considered. Additional alternatives, such as massive microfilming projects and accelerated disposal of temporary records will be examined in depth and proposals submitted to management during this planning period. Further coordination is required on proposals to use GSA facilities for the Agency's Vital Records and Archives, as well as on the concept of changing the medium for Agency reports from hardcopy to microfiche.

### 3. RECORDS PROGRAM PLANS

#### Systematic Preservation or Disposal of Agency Records.

a. Method of Approach. (1) The Agency's Records Program policy has paralleled the Federal Government's Records Policy since its inception in 1950. One major premise has been that it costs less to store hardcopy in a Records Center for 30 years than to microfilm it. At a July 1968 meeting the Agency's Top Management directed the Agency Program to look to the new technology of microminiaturization to permit the records storage and retrieval needs of the Agency to fit in its existing facilities. (2) To date Program studies find that current technical capabilities of microfilm reels of 24 to 1 reduction are suitable for large files, the aperture cards for multipage documents,

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and microfiche for reports up to 65 pages. All are expensive but feasible. Use of microfilms in offices reduces the need for costly office space and equipment and this improves the filming cost ratio there, even more than it does in the Records Center. The major problems are the equipment and manpower budgeting needed for the conversion process. Strong coordination and new policies are needed to engender user acceptance of the new procedures and the microfilmed products. (3) Office procedures and record-keeping media are command decisions. The Records Program will seek authority to influence new records systems but until so granted it can only encourage Offices to convert to microfilm wherever possible. The Records Center staff will locate stored collections appropriate for filming and promote their conversion. The Records Program has accelerated studies of other technological methods which show great promise. For example: Videotape Files are of interest but very expensive and still years away. High reduction microimages (150 to 1), even with their scientific "clean room" laboratory requirements, have great appeal. The new laser-beam tape file systems are even more exotic, expensive, and remote but provide data compaction of 18,000 to one which demands serious consideration. (4) Other alternatives will continue to be pursued since they are extensions of current program efforts in systematic records

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systems, controlled disposition, storage outside expensive office space, and use of GSA facilities. Any solution will have proportionate costs. The Records Board is in the process of identifying solutions, but not in time for this Budget presentation. They will be included in the presentation for 1972 with costs and alternatives.

b. Coordination, Joint Planning, and Requirements. Another basic premise of the Federal Records Act is that all information systems and procedures are essentially records keeping regardless of the medium (paper, film, tapes, or photos) or the machine (pen, typewriter, computer, or printing press). This Central Agency Records Program plans to maintain close liaison and to seek cooperation in all components concerned in order to reduce records creation, improve filing systems, and to build-in routine disposition systems for the removal of old, inactive files and the economic preservation of Agency records of continuing value. Requirements are included in "Resources Required", below.

c. Risks and Uncertainties. (1) Component autonomy and precedent have firmly fixed the Records Program into its role as a Service. Since 1948, even before the Federal records requirements, this Records Program provided storage services to

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Agency components. The "management" of the several records elements always has been provided on an advisory basis to be used or rejected by the Offices as they saw fit. Persuasion and technical guidance were the only authority ever available to the Records Program. (2) Although the new Records Management Board provides a mechanism and channel to favorably influence component records practices, the limited influence of Board members in the Offices of their Directorates will also limit the acceptance of the proposed improvements and changes they advocate. (3) Further, any plans being developed for the Records Center to change the medium of the documents in its custody will require approval of the Office concerned and acceptance of the equipment and procedural changes it imposes on the several users involved. This is especially true with regard to maps, and multi-color documents. Likewise there are the high government officials, such as the Director or the White House and they may prefer hard copy to microfiche. (4) The final uncertainty hinges on the role of the Records Center vis-a-vis the Agency components. Is it a service or an operation? In the past the Records Center provided records storage service and returned the documents as received or else destroyed the records on an approved, mutually agreed upon, scheduled date.

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Today's search for new storage methods enters the world of stored information which calls for disposal of the input documents and retrieval of the entire new medium or of selected data. (5) This change of role impacts on all users of the Center and will require a new policy. The Agency's recent experience with computer systems will help in the new systems but it also demonstrates the difficulties, risks, and uncertainties in developing any system. Consequently, all considerations of the new storage and retrieval systems must realize that the personnel, equipment, and systems requirements portend prolonged study, development, coordination, and implementation before there is any substantial reduction in the volume of records in storage.

d. Alternatives Considered. The options available to the Agency to improve its records storage capability are still being considered by the central staff and the Records Board. Areas of consideration for recommendations to top management are as follows: (1) Extensive microfilming projects. (2) Re-evaluation of the needs of the Emergency and Vital Records Programs. (3) Possible storage of selected Agency records in GSA Records Centers. (4) Conversion of the Supplemental Distribution copies of Agency reports to a microfiche medium. (5) Moving of the Supplemental Distribution collection from

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[REDACTED] (6) Storage of Agency Archives at [REDACTED]

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[REDACTED] (7) Establishing of a separated Archives function for the Agency's records of permanent value. (8) Accelerated disposal of temporary Office records and tighter Control Schedules. (9) Installation of motorized shelving to compact storage capacity.

e. Resources Required. (1) As indicated in Program Objectives above, the Agency can maintain a "status quo" holding action with the present Table of Organization. The most serious need for improvement is manpower to concentrate on control of records creation. The flood of records to the overcrowded Records Center will not be controlled until greater pressure is applied by the central Program Staff to the 67 decentralized Records Officers in components across the Agency. Such a revitalization of the Agency Program requires one additional Records Analyst position (GS-12 -- Occupation Series Number 0344.02) in FY 1971 and in each of the succeeding three years of this planning period. Each of those four professionals will be assigned immediately to the three elements of the Creation Control program. Eventually this would provide the full services of one man to the problems of Microimage Systems, Correspondence, and Reports and add one to assist the one now on forms. The growing Agency-wide interest in microminiaturized records systems is developing independently in several directions without

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any central control or guidance. The shortage of Records Center space will compel this activity to increase enormously during the next two years. Further realignment of the records staff duties will be made to provide a modicum of central management and compatibility for these new miniature records systems but this will further reduce the already too small effort now assigned to other elements of the Records Program. The immediate authority for one position in this Program Call is absolutely essential. Also, the plan for subsequent strengthening of the records manpower should be included now because in later Calls it may be accelerated, sustained, or deleted based upon the proportional value to the Agency demonstrated by the increasingly viable Records Program. (2) The overcrowded Records Center conditions, with the attendant impact on its operations, have been met by increased efficiency and procedure refinements. It is anticipated that the records volumes in the Offices and in storage will continue to grow in the immediate future before the new technology and alternate solutions have been able to provide any relief at the Records Center. The eventual reduction in volume is not expected to reduce the workload proportionately. In fact, as has occurred in similar microfilm operations, the processing time for such information retrieval necessitates additional manpower. Consequently, it

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is advisable that this planning paper look to the future requirements as quickly as it can. Therefore, the Records Center staffing complement should be increased in FY 1971 by one additional GS-07 Archival Assistant. (3) At present the Records Management Board is studying the records problems and plans to submit recommendations to management during July 1969, too late for inclusion in this Budget. If micro-filming is one of the alternatives selected it will have to be funded by the components sponsoring it under the current decentralized records management authorities specified in HR [REDACTED] (4) If refurbishing warehouse space at [REDACTED] is one of the alternatives selected preliminary estimates suggest that a minimum of \$300,000 will be required.

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